



BEST AVAILABLE COPY

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/336,126	06/18/99 REN		Z 19226/650R55

0212/0722

MICHAEL L GOLDMAN  
NIXON HARGRAVE DEVANS & DOYLE  
CLINTON SQUARE P O BOX 1051  
ROCHESTER NY 14603

NOT ASSIGNED

1754

DATE MAILED:

07/22/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 130.

☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center

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19226/190dey  
RESPONSE DUK.O

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Ren et al.

Serial No. : 09/336,126

Filed : June 18, 1999

: FREE-STANDING AND ALIGNED CARBON NANOTUBES AND  
SYNTHESIS THEREOF

TRANSMITTAL LETTER



Assistant Commissioner For Patents  
Washington, D.C. 20231

Box: Missing Parts

Dear Sir:

In response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(d), which was mailed by the United States Patent and Trademark Office on July 22, 1999, enclosed are:

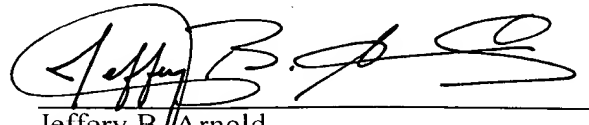
- ☒ [X] A Combined Declaration and Power of Attorney.
- ☐ [ ] A Request for (One, Two or Three)-Month Extension of Time.
- ☒ [X] A verified statement to establish small entity status under 37 CFR 1.9 and 1.27.
- ☒ [X] A Request for Corrected Filing Receipt, Copy of Official Filing Receipt, and first page of the specification as filed.
- ☒ [X] A Correction of Correspondence Address.
- ☒ [X] A copy of the Notice to File Missing Parts.
- ☒ [X] Information Disclosure Statement (1 page), PTO-1449 (4 pages) (in duplicate) and 45 references.
- ☒ [X] A self-addressed, prepaid postcard for acknowledging receipt.
- ☒ [X] Fees as calculated below:

FEE FOR (ONE, TWO OR THREE)-MONTH EXTENSION OF TIME	\$0
SURCHARGE 37 CFR 1.16(e)	\$65.00
ADDITIONAL FEES	\$0
TOTAL FEES SUBMITTED HEREWITH	\$65.00

- ☒ [X] A check in the amount of **\$65.00** to cover the above fees.

- [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 14-1138. A duplicate copy of this sheet is enclosed.

Date: September 16, 1999

  
Jeffery B. Arnold  
Registration No. 39,540

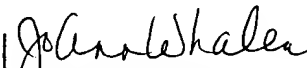
Nixon Peabody LLP  
Clinton Square, P.O. Box 1051  
Rochester, New York 14603  
Telephone: (716) 263-1342  
Facsimile: (716) 263-1600

**Certificate of Mailing - 37 CFR 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231 on the date below.

9/16/99

Date



Jo Ann Whalen



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants	:	Ren et al.	)	Examiner:
			)	Unknown
Serial No	:	09/336,126	)	
Filed	:	June 18, 1999	)	Art Unit:
			)	1754
For	:	FREE-STANDING AND ALIGNED	)	
		CARBON NANOTUBES AND	)	
		SYNTHESIS THEREOF	)	

**REQUEST FOR CORRECTED FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
**Box: Missing Parts**

Dear Sir:

Applicants hereby request a corrected filing receipt for the above-identified application. On the enclosed copy of the official filing receipt, the entity status is omitted. It should read "SMALL ENTITY", per the small entity declaration being filed with the enclosed Response to Notice to File Missing Parts.

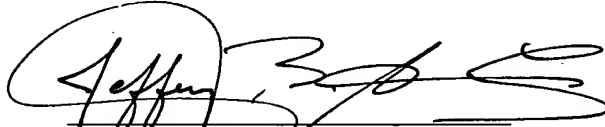
In addition, the applicant data for the first inventor reads "ZHIFENG REN, EAST AMHEARST, NY" but should read "ZHIFENG REN, EAST AMHERST, NY". The applicant data for the third inventor reads "JUI H. WANG, AMHEARST, NY" but should read "JUI H. WANG, AMHERST, NY". The signed combined declaration and power of attorney is enclosed herewith.

Also, the continuing data for the provisional applications is omitted. The continuing data should read "CONTINUING DATA AS CLAIMED BY APPLICANT – PROVISIONAL APPLICATION NO. 60/089,965 06/19/98; PROVISIONAL APPLICATION NO. 60/099,708 09/10/98" as per the enclosed signed combined declaration and power of attorney.

In addition, the title of the invention reads "FREESTANDING AND ALIGNED NANOTUBES AND SYNTHESIS THEROF" but should read "FREE-STANDING AND ALIGNED CARBON NANOTUBES AND SYNTHESIS THEREOF". A copy of the first page of the specification as filed is enclosed herewith.

Since Applicants are not responsible for these errors, no fee is enclosed.

Respectfully submitted,



Jeffery B. Arnold  
Registration No. 39,540

Dated: SEPTEMBER 16, 1999

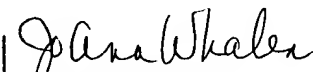
Nixon Peabody LLP  
Clinton Square, P.O. Box 1051  
Rochester, New York 14603  
Telephone: (716) 263-1342  
Facsimile: (716) 263-1600

**Certificate of Mailing - 37 CFR 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231 on the date below.

9/16/99

Date



Jo Ann Whalen

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/336,126	06/18/99	1754	\$1,426.00	19226/650R55	19	86	15

MICHAEL L GOLDMAN  
NIXON HARGRAVE DEVANS & DOYLE  
CLINTON SQUARE P O BOX 1051  
ROCHESTER NY 14603

19226/950

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) ZHIFENG REN, EAST AMHEARST, NY; ZHONGPING HUANG,  
CHEEKTOWAGA, NY; JUI H. WANG, AMHEARST, NY; DEZHI WANG,  
WILLIAMSVILLE, NY.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 07/21/99  
TITLE  
FREESTANDING AND ALIGNED NANOTUBES AND SYNTHESIS THEROF

PRELIMINARY CLASS: 423

ENTERED  
Nixon Peabody LLP

AUG - 9 1999

FILE

DKT

DATA ENTRY BY: GENTRY, CHRISTINE TEAM: 01 DATE: 07/21/99



(See reverse for new important information)